

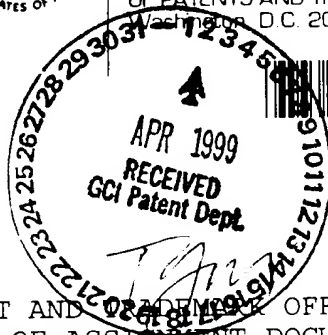


UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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MARCH 22, 1999

PTAS

GENENCOR INTERNATIONAL, INC.  
CHRISTOPHER L. STONE  
925 PAGE MILL RD.  
PALO ALTO, CA 94304-1013



\*100919123A\*

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OCT 03 2002

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UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/11/1998

REEL/FRAME: 9623/0578  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
ESTELL, DAVID A.

DOC DATE: 07/21/1998

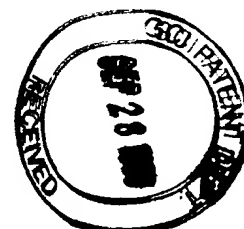
ASSIGNOR:  
HARDING, FIONA ANN

DOC DATE: 07/23/1998

ASSIGNEE:  
GENENCOR INTERNATIONAL, INC.  
1870 SOUTH WINTON ROAD  
4 CAMBRIDGE PLACE  
ROCHESTER, NEW YORK 14618

SERIAL NUMBER: 09060872  
PATENT NUMBER:

FILING DATE: 04/15/1998  
ISSUE DATE:



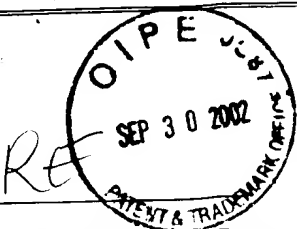
9623/0578 PAGE 2

TARA WASHINGTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

12-11-1998

EET

Docket No. GC527



100919123

To the Assistant Commissioner for Patents: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

David A. Estell and Fiona Ann Harding

Additional name(s) of conveying party(ies) attached ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: July 21, and July 23, 1998

## 2. Name and address of receiving party(ies):

Name: GENENCOR INTERNATIONAL, INC.

Address: 4 Cambridge Place  
1870 South Winton Road  
Rochester, NY 14618Additional name(s) & address(es) attached? ☐ Yes ☒ No

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## 4. Application number(s) or patent number(s): 09/060,872

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name:

Address: GENENCOR INTERNATIONAL, INC.  
925 Page Mill Road  
Palo Alto, California 94304-1013

## 6. Total number of applications and patents involved: 1

7. Total fee (34 CFR 3.41) ..... \$ 40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit Account number: 07-1048  
(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Christopher L. Stone

Name of Person Signing

Signature

August 6, 1998

Date

Total number of pages comprising cover sheet: 3

### Assignment

WHEREAS, **David A. Estell**, residing at 248 Woodbridge Circle, San Mateo, CA 94403, and **Fiona Ann Harding**, residing at 772 Lewis Street, Santa Clara, CA 95050, have invented a new and useful invention in **MUTANT PROTEINS HAVING LOWER ALLERGENIC RESPONSE IN HUMANS AND METHODS FOR CONSTRUCTING, IDENTIFYING AND PRODUCING SUCH PROTEINS** and an application for United States Letters Patent was filed on April 15, 1998, U.S. Serial No. 09/060,872; and

WHEREAS, **Genencor International, Inc.**, a corporation organized and existing under and by virtue of the laws of the State of Delaware, having its principal place of business at 4 Cambridge Place, 1870 South Winton Road, Rochester, New York, is desirous of acquiring an interest in and to said invention, and in the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern:

That for good and valuable consideration the receipt of which is hereby acknowledged, the said inventors have and do hereby sell, assign, transfer and set over unto the said Genencor International, Inc., its successors and assigns, the full and exclusive right, title and interest, including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but for, to and in all other countries, and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said Genencor International, Inc. in accordance with this Assignment.


Said Inventors hereby covenant and agree to cooperate with Genencor International, Inc. to enable said Genencor International, Inc. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers and other assistance, all to the extent deemed necessary or desirable by said Genencor International, Inc. for (a) perfecting the right, title and interest herein conveyed, (b) prosecuting any of said applications, (c) filing and prosecuting applications for reissuance of any said patents, (d) interference or other priority proceedings involving said invention, and (e) legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation, opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions, provided, however, that the expense

incurred by said Inventors in providing such cooperation shall be paid for by said Genencor International, Inc.

The terms and covenants of this Assignment shall inure to the benefit of said Genencor International, Inc., its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.

Said Inventors hereby warrant and represent that they have not entered and will not enter into any assignment, contract or understanding in conflict herewith.

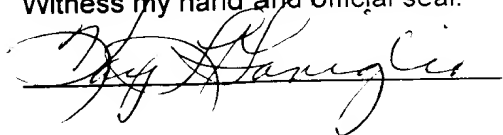
IN WITNESS WHEREOF I undersign as follows:

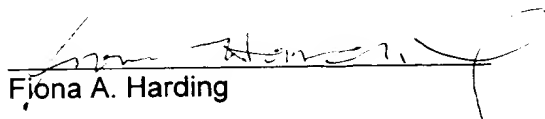
  
David A. Estell

STATE OF CALIFORNIA                    )  
COUNTY OF SANTA CLARA            )

On July 23, 1998, before me, Kay L. Gaviglio, Notary Public, personally appeared David A. Estell, proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that his signature on the instrument the person or entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

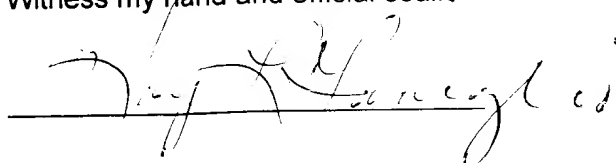


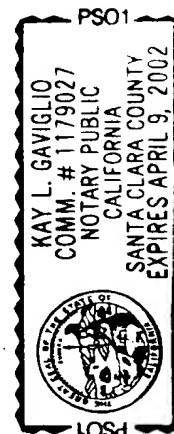
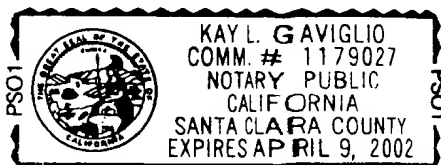
  
Fiona A. Harding

STATE OF CALIFORNIA                    )  
COUNTY OF SANTA CLARA            )

On July 21, 1998, before me, Kay L. Gaviglio, Notary Public, personally appeared Fiona A. Harding, proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that her signature on the instrument the person or entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.







**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

AUGUST 027, 2000

PTAS

FLEHR HOHBACH TEST ALBRITTON ET AL  
DOLLY A. VANCE, ESQ.  
SUITE 3400  
FOUR EMBARCADERO CENTER  
SAN FRANCISCO, CA 94111-4187



\*1 01378327A\*

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**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

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RECORDATION DATE: 05/15/2000

REEL/FRAME: 010836/0376  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
ESTELL, DAVID A.

DOC DATE: 04/27/2000

ASSIGNOR:  
HARDING, FIONA A.

DOC DATE: 05/01/2000

ASSIGNEE:  
GENENCOR INTERNATIONAL, INC.  
925 PAGE MILL ROAD  
PALO ALTO, CALIFORNIA 94304

SERIAL NUMBER: 09500135  
PATENT NUMBER:

FILING DATE: 02/08/2000  
ISSUE DATE:

LAWAN FLETCHER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

SEP 30 2002

RECORDATION FORM COVER S

06-12-2000

MERCE  
Office

PATENTS ONLY



101378327

To the Honorable Commissioner of Patents and Trademarks, Please record  
copy thereof.

1. Name of conveying party(ies) DAVID A. ESTELL; FIONA A. HARDING

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of Conveyance:  
☒ Assignment (Notarized) ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: April 27, 2000 & May 1, 2000

2. Name and address of receiving party(ies):

Name: Genencor International, Inc.

Internal Address: \_\_\_\_\_

Street Address: 925 Page Mill Road,  
Palo Alto, California 94304

Country: U.S.

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No. (s)

09/500,135

B. Patent No. (s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: DOLLY A. VANCE, ESQ.  
Internal Address: FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

Street Address: SUITE 3400  
FOUR EMBARCADERO CENTER  
City: SAN FRANCISCO  
State: CA Zip: 94111-4187

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): ..... \$40.00

☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number: 06-1300  
Please debit any underpayment or credit any overpayment to the above deposit account.

Our Order No. A-68893/DJB/DAV

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Dolly A. Vance, Reg. No. 39,054  
Name of Person Signing

Dolly  
Signature

5/11/00  
Date

Total number of pages including cover sheet, attachments and document: 4

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

06/09/2000 DMGUYEN 00000174 09500135

01 FC:581

40.00 DP

Box Assignments  
Assistant Commissioner for Patents  
Washington, DC 20231

File No. A-68893/DJB/DAV

Rev. 8/93 (1011893)

## ASSIGNMENT

WHEREAS, the undersigned, **David A. Estell**, 248 Woodbridge Circle, San Mateo, CA 94403, **Fiona A. Harding**, 772 Lewis Street, Santa Clara, CA 95050, (hereinafter termed "Inventors"), have invented certain new and useful improvements in PROTEINS PRODUCING AN ALTERED IMMUNOGENIC RESPONSE AND METHODS OF MAKING AND USING THE SAME, and have executed concurrently herewith an application for a United States patent disclosing and identifying the invention; and having Serial No. 09/500,135 and filing date of February 8, 2000 and

WHEREAS, Genencor International, Inc. (hereinafter termed "Assignee"), a corporation of the State of California, having a place of business at 925 Page Mill Road, Palo Alto, California 94304, is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered by said Inventors (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventors' certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:

1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignee, the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any



application **which** is a division, substitution, or continuation of any of said **app**lications; and  
(d) in and to **e**ach and every reissue or extensions of any of said patents.

2. Said Inventors hereby covenant and agree to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right title and interest **h**erein conveyed in the United **S**tates and foreign countries. Such cooperation by said Inventors shall include prompt **production** of pertinent facts and documents, giving of testimony, **ex**ecution of petitions, oaths, **specifications**, declarations or other papers, and other assistance all **t**o the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for prosecuting any of said **app**lications; (c) for filing and prosecuting **substitute**, divisional, continuing or additional applications **covering** said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal **proceedings** involving said invention and any applications therefor and any patents granted thereon, **including** without limitation **opposition** proceedings, cancellation proceedings, priority **contests**, public use proceedings, infringement actions and court actions; provided, however, **that** the expense incurred by said Inventors in providing such cooperation shall be paid for **by** said Assignee.

3. The terms, covenants and conditions of this assignment shall **inure** to the benefit of said Assignee, its successors, assigns and other legal representatives, **and** shall be **binding** upon said Inventors, their heirs, legal representatives and assigns.

4. Said Inventors hereby warrant and represent that they have **not** entered and **will** not enter into any assignment, contract, or understanding in conflict **herewith**.

IN WITNESS WHEREOF, the said Inventors have executed and delivered this instrument to said Assignee.

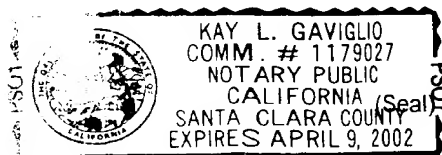
By David A. Estell  
David A. Estell

County of Santa Clara )  
 ) ss.  
State of California )

On this 27 day of April, in the year 2000, before me, Kay L. Gaviglio Notary Public of the State of California, personally appeared David A. Estell, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/~~she~~ executed the same in his/~~her~~ authorized capacity(~~ies~~), and that by his/~~her~~ signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Kay L. Gaviglio



By Fiona A. Harding  
Fiona A. Harding

County of Santa Clara )  
 ) ss.  
State of California )

On this 1st day of May, in the year 2000, before me, Kay L. Gaviglio Notary Public of the State of California, personally appeared Fiona A. Harding, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument, and acknowledged to me that ~~he~~/she executed the same in ~~his~~/her authorized capacity(~~ies~~), and that by ~~his~~/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Kay L. Gaviglio



(Seal)